

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE
(REV 01-99)ATTORNEY'S DOCKET NUMBER
1330.013US1TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see
37 CFR 1.5)
UNKNOWN **10/524155**INTERNATIONAL APPLICATION NO.
PCT/US2003/025408INTERNATIONAL FILING
DATE
12 August 2003PRIORITY DATE CLAIMED
12 August 2002

TITLE OF INVENTION :

RESIDENTIAL REVERSE OSMOSIS SYSTEM

APPLICANT(S) FOR DO/EO/US :

Steven D. KLOOS, Philip M. ROLCHIGO, Christopher J. KURTH, Chia H. KUNG, Thomas J. CARTWRIGHT,
Richard RECKIN, and Kenneth J. SEITH

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application in to English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ an **UNSIGNED** oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, with Form 1449, and copies of six (6) cited documents.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment (4 pages).
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification (☐ pgs), with ☐ sheets of original drawings, and a marked-up version of the substitute specification (☐ pgs).
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
Published Application WO 2004/014528 A1
PCT Request (5 pgs).
Notification Concerning Submission or Transmittal of Priority Document (1 Pg).
PCT/IB/306 - Notification of the Recording of a Change (1 pg.)
PCT/IPEA/408 - Written Opinion (5 pgs)

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/524155INTERNATIONAL APPLICATION NO.
PCT/US2003/025408ATTORNEY'S DOCKET NUMBER
1330.013US117. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1,080.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$920.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT**CALCULATIONS PTO USE ONLY**

Surcharge of \$130.00 for furnishing the oath or declaration later than 20 ☒ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 1,080.00

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	43 - 20 =	23	X \$50.00	\$ 1,150.00	
Independent claims	7 - 3 =	4	X \$200.00	\$ 800.00	

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$360.00

\$

TOTAL OF ABOVE CALCULATIONS

\$ 3,880.00

Reduction of 1/2 for filing by small entity, if applicable.

\$ N/A

SUBTOTAL

\$ 3,880.00

Processing fee of \$130.00 for furnishing the English translation later than 20 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE

\$ 3,880.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.

\$

TOTAL FEES ENCLOSED

\$3,880.00

Amount to be:
refunded

\$

charged

\$ 3,880.00

- a. Authorization to charge Deposit Account No. 19-0743 in the amount
of \$ to cover the above fee for the Assignment Recordation is
enclosed.
- b. ☒ Please charge my Deposit Account No. 19-0743 in the amount of \$ 3,880.00 to cover the above fee for
the filing fee.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 19-0743.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive
(37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
P.O. Box 2938
Minneapolis, MN 55402

SIGNATURE

Peter C. Maki
NAME

42,832

REGISTRATION NUMBER

10/524155

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Steven D. Kloos et al.

Title: RESIDENTIAL REVERSE OSMOSIS SYSTEM

Attorney Docket No.: 1330.013US1

Customer No.: 21186

PATENT APPLICATION TRANSMITTAL

MS PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

We are transmitting herewith the following attached items and information (as indicated with an "X"):

- ☒ Return postcard.
- ☒ A Transmittal Letter to the DO/EO/US (and duplicate copy thereof) concerning a *PCT - U.S. National Stage filing under 35 U.S.C. 371*.
- ☒ Copy of: International Application PCT/US2003/025408 as published (WO 2004/014528 A1 (60 pgs, including 43 claims and 20 sheets of Formal Drawings)
- ☒ Unsigned Combined Declaration and Power of Attorney (5 pgs).
- ☒ Incorporation by Reference: *The entire disclosures of the prior applications, U.S. Provisional Application SN 60/402,754 filed August 12, 2002, and PCT/2003/025408 filed August 12, 2003 and published as WO 2004/014528 A1 on February 19, 2004, are considered as being part of the disclosure of the accompanying application and are hereby incorporated by reference therein.*
- ☒ Preliminary Amendment (4 pgs.)
- ☒ Copy of PCT Request (5 pgs)
- ☒ Copy of Written Opinion (**5** pgs.)
- ☒ Copy of Notification Concerning Submission or Transmittal of Priority Document (1 pg).
- ☒ Copy of Notification of the Recording of a Change (1 pg).

The Commissioner is authorized to charge the filing fee of \$3,880.00 and any other fees which may be due, or to credit overpayments, to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

Customer Number: 21186

By: 

Atty: Peter C. Maki

Reg. No. 42,832

"Express Mail" mailing label number: EV 553 979 591 USDate of Deposit: February 11, 2005

This paper or fee is being deposited on the date indicated above with the United States Postal Service pursuant to 37 CFR 1.10, and is addressed to The Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.